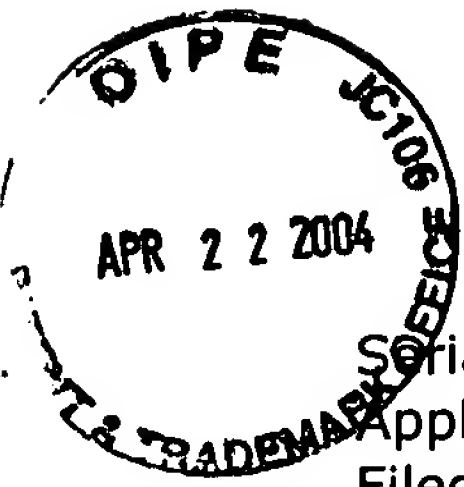


41

Serial No.: 09/930,786
In reply to Office Action mailed: December 18, 2003
Page 1 of 15

3628



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial #: 09/930,786
Applicant: Ronald E. Sloan et al.
Filed: August 15, 2001
Title: AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT SYSTEM (as amended herein)

Group Art: 3628
Examiner: J. Pwu
Docket #: 60021-375602

RECEIVED

APR 28 2004

CERTIFICATE OF MAILING

GROUP 3600

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail with sufficient postage and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 19, 2004.

Ann Pommier

Ann Pommier

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT AND RESPONSE TO OFFICE ACTION

In response to an Office action mailed December 18, 2003 (Office Action). Please amend the above-identified application as follows:

Amendments to the Specification are found on page 2 of this paper.

Amendments to the Claims are reflected in the listing of claims, which begins on page 3 of this paper.

Remarks/Arguments begin on page 12 of this paper.